



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No.: 40923-0060US2

Applicant: Shui-on LEUNG et al.

Confirmation No.: 4870

Appl. No.: 10/808,538

Examiner: To Be Assigned

Filing Date: March 25, 2004

Art Unit: 1645

Title: HUMANIZATION OF AN ANTI-CARCINOEMBRYONIC ANTIGEN ANTI-IDIOTYPE ANTIBODY AS A TUMOR VACCINE AND FOR TARGETING APPLICATIONS

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §1.56 and 37 CFR §1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Submitted herewith on Form PTO/SB/08A is a listing of documents known to applicants in order to comply with applicants' duty of disclosure pursuant to 37 C.F.R. §1.56 and §1.97.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or is considered to be material to patentability as defined in 37 C.F.R. §1.56(b). Applicants do not waive any rights to take any action that would be appropriate to antedate or otherwise remove as a competent reference any document that is determined to be a *prima facie* prior art reference against the claims of the present application.

**RELEVANCE**

Documents A01-A06 and A08-A23 submitted herewith on Form PTO/SB/08A, lists the documents cited by or submitted to the Patent Office in parent application Serial No. 09/155,106 filed November 17, 1998.

As provided in 37 C.F.R. §1.98(d), copies of the documents are not being provided since they were previously cited by or submitted to the Patent Office in parent application Serial No. 09/155,106, filed November 17, 1998.

Documents A07 and A24 were cited in corresponding Japanese application No. 533776/1977, copies of which are attached.

**TIMING/FEES**

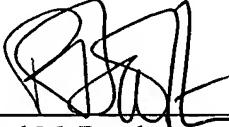
The instant Information Disclosure Statement is being filed in compliance with 37 CFR §1.97(b) prior to the mailing date of the first official action, therefore, no fee is required in connection with its filing. However, the Commissioner is hereby authorized to charge any deficiency or to credit any overpayment to Deposit Account No. 08-1641.

Applicants respectfully request that the listed documents be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08A be returned in accordance with M.P.E.P. §609.

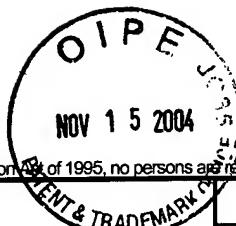
Respectfully submitted,

Date: November 15, 2004

By \_\_\_\_\_

  
Paul M. Booth  
Registration No. 40,244  
Customer No. 26633

HELLER EHRMAN WHITE &  
MCAULIFFE  
1666 K Street, N.W., Suite 300  
Washington, DC 20006  
Telephone: (202) 912-2000  
Facsimile: (202) 912-2020



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Approved for use through 10/31/2002. OMB 0651-0031

Approved for use through 10/31/2002. GMD 5001-0001  
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**Substitute for form 1449A/PTO**

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Substitute for form 1449A/PTO			<b>Complete if Known</b>		
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>			Application Number	10/808,538	
			Filing Date	March 25, 2004	
			First Named Inventor	Shui-on LEUNG et al.	
			Group Art Unit	1645	
			Examiner Name	Unassigned	
Sheet	1	of	3	Attorney Docket Number	40923-0060US2

## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

<b>Examiner Signature</b>		<b>Date Considered</b>	
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**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

2

of

3

**Complete if Known**

Application Number	10/808,538
Filing Date	March 25, 2004
First Named Inventor	Shui-on LEUNG et al.
Group Art Unit	1645
Examiner Name	Unassigned

Attorney Docket Number 40923-0060US2

**OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	A08	MOUNTAIN e al., "Engineering Antibodies for Therapy", Biotechnology and Engineering Reviews, Intercept Ltd., December 1992, p. 1-142, Vol. 10	
	A09	GRAZIANO et al., "Construction and Characterization of Humanized Anti-γ-Ig Receptor type I (FcγRI) Monoclonal Antibody", The Journal of Immunology, The American Association of Immunologists, pp. 4996-5002, November 1995	
	A10	LEUNG et al., "Humanization of an Anti-carcinoembryonic Antigen Anti-idiotype Antibody as a Tumor Vaccine and for Targeting Applications", Proceedings of the American Association for Cancer Research Annual Meeting, Vol. 37, March 1996, Meeting Info.: 87th Annual Meeting of the American Association for Cancer Research, Washington, D.C., USA; April 20-24, 1996	
	A11	LOSMAN et al., "Generation and Monitoring of Cell Lines Producing Humanized Antibodies", Clinical Cancer Research, pp. 3101s-3105s, October 1999, Vol. 5	
	A12	LOSMAN, et al., Int. J. Cancer, 56:580-584, 1994	
	A13	PRIMUS, et al., Cancer Research, 43:686, 1983	
	A14	JONES et al., Nature, 332:323, 1988	
	A15	RIECHMANN et al., Nature, 332: 323-327, 1988	
	A16	IRVINE et al., Cancer Immunology Immunotherapy, 36:281-292, 1993	
	A17	PIMM et al., Life Sciences, 56(17): 1401-1406, 1995	
	A18	GAIDA et al., Intl. J. Cancer, 51:459-465, 1992	
	A19	MORRISON et al., Hospital Practice, pp. 65-69, 72-74, 77-78, 80, October 15, 1989	
	A20	EVAN et al., Q J Med. 92:299-307, 1999	
	A21	JAIN, Cancer and Metastasis Reviews, 9:253-266, 1990	

Examiner Signature	Date Considered
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<sup>1</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.<sup>2</sup> Unique citation designation number.<sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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